

No. 24-12300

**IN THE UNITED STATES COURT OF APPEALS
FOR THE ELEVENTH CIRCUIT**

CITADEL SECURITIES LLC,

Petitioner,

v.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION,

Respondent.

On Petition for Review of an Order of the
United States Securities and Exchange Commission
Release No. 34-100181

**CBOE BYX EXCHANGE, INC., CBOE BZX EXCHANGE, INC., CBOE
C2 EXCHANGE, INC., CBOE EDGA EXCHANGE, INC., CBOE EDGX
EXCHANGE, INC., AND CBOE EXCHANGE, INC.'S
CERTIFICATE OF INTERESTED PERSONS**

**UNITED STATES COURT OF APPEALS
FOR THE ELEVENTH CIRCUIT**

CERTIFICATE OF INTERESTED PERSONS

Pursuant to Federal Rule of Appellate Procedure 26.1 and Eleventh Circuit Rule 26.1-1, the undersigned counsel of record for Movants Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe C2 Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., and Cboe Exchange, Inc., certifies that the persons and entities below are currently known to have an interest in the outcome of this case:

1. **ArentFox Schiff LLP**, counsel for Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., Cboe C2 Exchange, Inc., and Cboe Exchange, Inc., which each intend to move to intervene in this matter by August 15, 2024.

2. **Ballard Spahr LLP**, counsel for The Nasdaq Stock Market LLC, Nasdaq BX, Inc., Nasdaq GEMX, LLC, Nasdaq ISE, LLC, Nasdaq MRX LLC, and Nasdaq PHLX LLC.

3. **Barbero, Megan**, counsel for Respondent United States Securities and Exchange Commission.

4. **Borse Dubai Limited**, owner of more than 10% of Nasdaq, Inc.'s shares.

5. **BOX Exchange LLC**, member and participant of CAT LLC.
6. **Boyle, Gregory M.**, Jenner & Block, counsel for CAT LLC.
7. **Cboe BYX Exchange, Inc.**, member and participant of CAT LLC.
8. **Cboe BZX Exchange, Inc.**, member and participant of CAT LLC.
9. **Cboe C2 Exchange, Inc.**, member and participant of CAT LLC.
10. **Cboe EDGA Exchange, Inc.**, member and participant of CAT LLC.
11. **Cboe EDGX Exchange, Inc.**, member and participant of CAT LLC.
12. **Cboe Exchange, Inc.**, member and participant of CAT LLC.
13. **Cboe Global Markets, Inc.**, (ticker symbol: CBOE), direct or indirect parent company of Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., Cboe C2 Exchange, Inc., and Cboe Exchange, Inc.
14. **Citadel Securities GP LLC**, parent company of Petitioner Citadel Securities LLC.
15. **Citadel Securities LLC**, Petitioner.
16. **Conley, Michael A.**, counsel for Respondent United States Securities and Exchange Commission.
17. **Consolidated Audit Trail, LLC**, a jointly owned limited liability company formed under Delaware state law through which the participants conduct the activities of the CAT NMS Plan.

18. **Deutsch, Elizabeth B.**, Jenner & Block, counsel for CAT LLC.
19. **Financial Industry Regulatory Authority, Inc.**, member and participant of CAT LLC.
20. **Francisco, Noel J.**, Jones Day, counsel for Petitioner Citadel Securities LLC.
21. **Gershengorn, Ian Heath**, Jenner & Block, counsel of Record for Proposed Intervenor CAT LLC.
22. **Greenwalt, Paul, III**, ArentFox Schiff, counsel for Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., Cboe C2 Exchange, Inc., and Cboe Exchange, Inc.
23. **Hardin, Tracey A.**, counsel for Respondent United States Securities and Exchange Commission.
24. **Heckendorn, J. Maxwell**, ArentFox Schiff, counsel for Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., Cboe C2 Exchange, Inc., and Cboe Exchange, Inc.
25. **Hoyt, Joshua T.**, Jones Day, counsel for Petitioner Citadel Securities LLC.
26. **Intercontinental Exchange, Inc.** (NYSE: ICE), indirect parent of New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc., NYSE Chicago, Inc., and NYSE National, Inc.

27. **Investor AB** (Nasdaq Stockholm: INVEB), owner of more than 10% of Nasdaq, Inc.'s shares.
28. **Investors' Exchange LLC**, member and participant of CAT LLC.
29. **Jones Day**, counsel for Petitioner Citadel Securities LLC.
30. **Kastenbergh, Stephen J.**, Ballard Spahr LLP, counsel for Movants The Nasdaq Stock Market LLC, Nasdaq BX, Inc., Nasdaq GEMX, LLC, Nasdaq ISE, LLC, Nasdaq MRX, LLC, and Nasdaq PHLX LLC
31. **Lantieri, Paul**, Ballard Spahr LLP, counsel for The Nasdaq Stock Market LLC, Nasdaq BX, Inc., Nasdaq GEMX, LLC, Nasdaq ISE, LLC, Nasdaq MRX, LLC, and Nasdaq PHLX LLC.
32. **Long-Term Stock Exchange, Inc.**, member and participant of CAT LLC.
33. **Lucas, Brinton**, Jones Day, counsel for Petitioner Citadel Securities LLC.
34. **Marshall, Jonathan J.**, Jenner & Block, counsel for CAT LLC.
35. **Matro, Daniel E.**, counsel for Respondent United States Securities and Exchange Commission.
36. **MEMX LLC**, member and participant of CAT LLC, member and participant of CAT LLC.

37. **Miami International Securities Exchange LLC**, member and participant of CAT LLC.
38. **MIAX Emerald, LLC**, member and participant of CAT LLC.
39. **MIAX PEARL, LLC**, member and participant of CAT LLC.
40. **MIAX Sapphire, LLC**, member and participant of CAT LLC.
41. **Molzberger, Michael**, ArentFox Schiff, counsel for Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., Cboe C2 Exchange, Inc., and Cboe Exchange, Inc.
42. **Nasdaq BX, Inc.**, member and participant of CAT LLC.
43. **Nasdaq GEMX, LLC**, member and participant of CAT LLC.
44. **Nasdaq ISE, LLC**, member and participant of CAT LLC.
45. **Nasdaq MRX, LLC**, member and participant of CAT LLC.
46. **Nasdaq PHLX LLC**, member and participant of CAT LLC.
47. **Nasdaq, Inc.** (Nasdaq: NDAQ), sole owner of LLC interest in The Nasdaq Stock Market LLC and Nasdaq PHLX LLC and parent company of Nasdaq BX, Inc.
48. **New York Stock Exchange LLC**, member and participant of CAT LLC.
49. **NYSE American LLC**, member and participant of CAT LLC.
50. **NYSE Arca, Inc.**, member and participant of CAT LLC.

51. **NYSE Chicago, Inc.**, member and participant of CAT LLC.
52. **NYSE National, Inc.**, member and participant of CAT LLC.
53. **The Nasdaq Stock Market LLC**, member and participant of CAT LLC.
54. **Rabbitt, Brian C.**, Jones Day, counsel for Petitioner Citadel Securities LLC.
55. **Roth, Yaakov M.**, Jones Day, counsel for Petitioner Citadel Securities LLC.
56. **Thoma Bravo UGP, LLC**, owner of more than 10% of Nasdaq, Inc.'s shares.
57. **Unikowsky, Adam G.**, Jenner & Block, Counsel for CAT LLC.
58. **United States Securities and Exchange Commission**, Respondent.
59. **The Vanguard Group, Inc.**, owned 10% or more of Cboe Global Markets, Inc.'s common stock as of June 30, 2024.

Dated: August 15, 2024

Respectfully submitted,

/s/ Paul E. Greenwalt III

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Exchange, Inc., Cboe C2 Exchange, Inc.
Cboe EDGA Exchange, Inc., Cboe
EDGX Exchange, Inc., and Cboe
Exchange, Inc*